

## APPENDIX E: INSTRUCTIONS FOR ATP PRE-PROPOSALS

ATP invites you to submit pre-proposals for your project ideas. Pre-proposals are optional and do not impact the outcome of future ATP competitions. Pre-proposals are intended to provide intermediate feedback as to whether, 1) your project idea is on track regarding information essential to developing a successful full proposal; and 2) your project idea is appropriate for cost-shared funding from ATP.

Each pre-proposal must contain answers to the five questions listed below and include Page 1 of the cover sheet, Form NIST-1262, Single Company Cover Sheet or the Form NIST-1263, Joint Venture Cover Sheet. Item 2, Technology Area Code, must identify the technology area code that best describes the core technological innovation in your project idea. Appendix F in the ATP Kit lists the technology area codes. Items 6, Dun & Bradstreet; 10, Name of Grant/Contract Manager; and 13, Project Abstract, may be left blank. In item 11, Sources of Funds, you must provide an estimate of the total funds required for the project. Funds for each year are not required. Your estimate should include both the ATP and the Proposer funds. This estimate is for planning purposes only. Your funding estimate may be revised if you decide to submit a full proposal. For joint ventures, include a list of potential partners in item 13, on Form NIST-1263.

In your responses to the five pre-proposal questions, each question should be answered separately and each answer must be identified by the question number. The questions are intended to help you evaluate your idea in the context of the key goals and criteria of the ATP. ATP will comment on each separately. The comments that you receive from ATP are designed to provide feedback on your understanding of ATP requirements and to help you focus on the parameters critical to preparing a competitive ATP full proposal. When aspects of your idea appear to be in conflict with the ATP project selection criteria, or appear to be in conflict with a formal ATP rule, ATP may suggest that you not submit a full proposal. However, this is only a recommendation. If you choose, you may still submit a full proposal.

High-quality full proposals result for those who can give clear and unambiguous answers to the pre-proposal questions in accordance with the ATP selection criteria and can, in a full proposal, substantiate those answers with sound evidence and rationale relative to the ATP criteria. Pre-proposals will be treated as strictly confidential by the ATP, but pre-proposals should also be marked "Proprietary." ATP considers the inclusion of proprietary information vital to assessing and improving your understanding of our primary mission; i.e., funding, through partnership with industry, high-risk, innovative technology development projects that will stimulate U.S. economic growth.

Pre-proposals will be reviewed as they are received. ATP will strive to provide written feedback generally within approximately two weeks after receipt. While pre-proposals can be received at anytime throughout the year, the turn-around time will increase for pre-proposals that are received during competition peak periods. Feedback received from ATP after a competition deadline should be used to plan for subsequent ATP competitions. No other form of feedback will be provided by ATP for pre-proposals. You may submit a second pre-proposal on the same or similar project idea, at a later date, to further refine your understanding of the ATP. ATP may elect not to provide a response to pre-proposals that are submitted more than twice.

Pre-proposals have a 4 page limit, excluding cover sheet, and no electronic or facsimile copies will be accepted. Send 3 typed copies to:

National Institute of Standards and Technology  
Advanced Technology Program  
100 Bureau Drive, Stop 4701  
Administration Bldg. 101, Room A407  
Gaithersburg, MD 20899-4701

**(PLEASE MARK ENVELOPE: ATP PRE-PROPOSAL)**

## **Pre-Proposal Questions**

The following questions are intended to help you evaluate your idea in the context of the key goals and ATP project selection criteria. Please number your responses and respond separately to each question. Pre-proposals are limited to **4 pages** excluding the cover sheets (Form NIST-1262 or NIST-1263). The references listed will provide you with further insight into the ATP criteria and will help you frame your responses. For your convenience, the applicable pages of the ATP Proposal Preparation Kit are provided for your reference.

### **Scientific & Technological Merit**

1. What is your project idea? How is your project innovative and where is the technical risk?  
(Kit References: Innovation in Technology, pp. 28-29 and High Technical Risk and Feasibility, p. 29)
2. How will you pursue your technology development?  
(Kit Reference: Quality of R&D Plan, pp. 29-31)

### **Broad-Based Economic Benefits**

3. How will the United States benefit from the successful completion of your project?  
(Kit Reference: Economic Benefits, p. 32)
4. What is your business plan for technology diffusion and for commercialization?  
(Kit Reference: Pathway to Economic Benefit, pp. 31-36)
5. Why is ATP Funding necessary?  
(Kit Reference: Need for ATP Funding, p. 32)